

Naval Inspector General



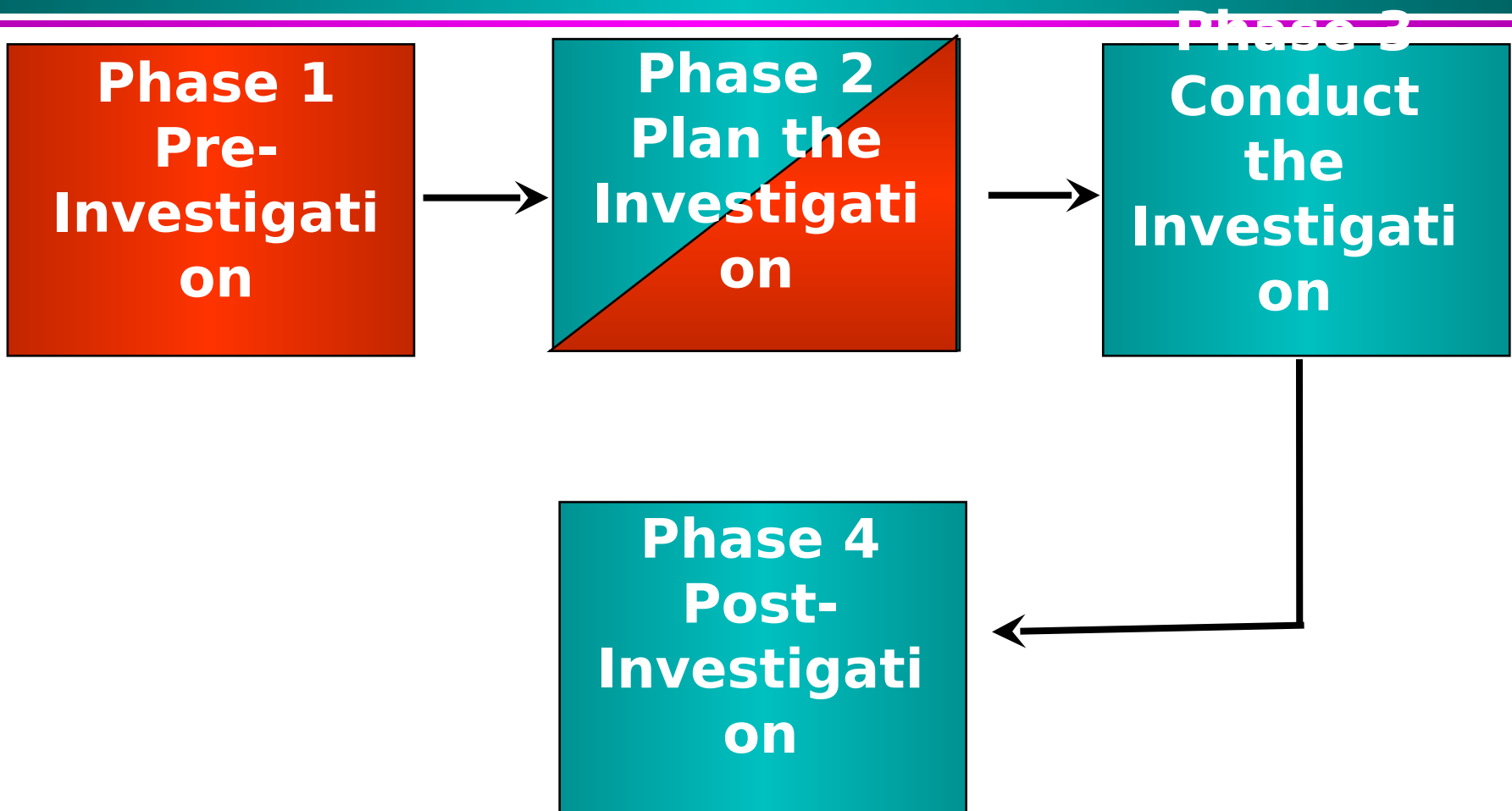
Washington Navy Yard, DC



Conscience of the Navy...Making a Difference!



Naval Inspector General Complaint Resolution Procedure





Naval Inspector General Complaint Resolution Procedure

Phase 1: Pre-Investigation

**Receive the Complaint
Analyze the Complaint
Draft the Allegation(s)
Determine the Action
Notify the Complainant**

Phase 2: Plan the Investigation

**Assign the IO
Mentor the IO
Prepare & Maintain the
Plan**

Phase 3: Conduct the Investigation

**Gather Information
Interview
Write the Report**

Phase 4: Post-Investigation

**Conduct Quality Review of
the Report
Notify Complainant & Subject
Prepare the Case File for
Closing**



Let's Review

- Read the complaint thoroughly
- Consult SMEs, JAG, OGC
- Research the standards
- Draft the allegations in the proper format
- Notify the complainant of the intended action



Phase 2: Plan the Investigation

Phase 2: Plan the Investigation

➡ Assign an Investigating Officer

Mentor and Train the IO
(Establish Partnership –
Investigation Team)

Prepare the Investigation
Plan

Maintain the Plan

Slide



Assign an Investigating Officer

Who conducts IG investigations?

- A. An IG
- B. An IG staff member
- C. A NAVINSGEN / IG trained Investigating Officer
- D. Other Navy personnel (1-time investigators)



Assign an Investigating Officer

Appointment letter:

- States investigation is IO's only duty
- Gives IO authority to interview and collect evidence
- Establishes time allowed to complete investigation
- Restricts release of information



Phase 2: Plan the Investigation

**Phase 2:
Plan the
Investigati
on**



Assign an Investigating Officer

**Mentor and Train the IO
(Establish Partnership -
Investigation Team)**

Prepare the Investigation

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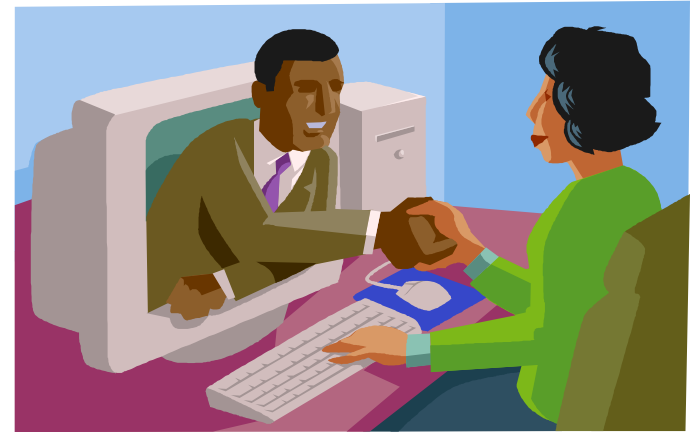
Partnership - Investigation Team

- **Partnership - Investigation Team**
 - Consists of Experienced IG Investigator, IO, Legal, Subject Matter Expert
 - Command IG staff provides administrative support while investigation is ongoing



Partnership - 1st Meeting with IO

- Recommend 2 meetings between experienced investigator (mentor) and IO w/in 1 week of tasking
- In person / telephone
 - Explain overall process
 - Advise 60-day completion requirement
 - Ensure IO understands his / her responsibility for any rework items

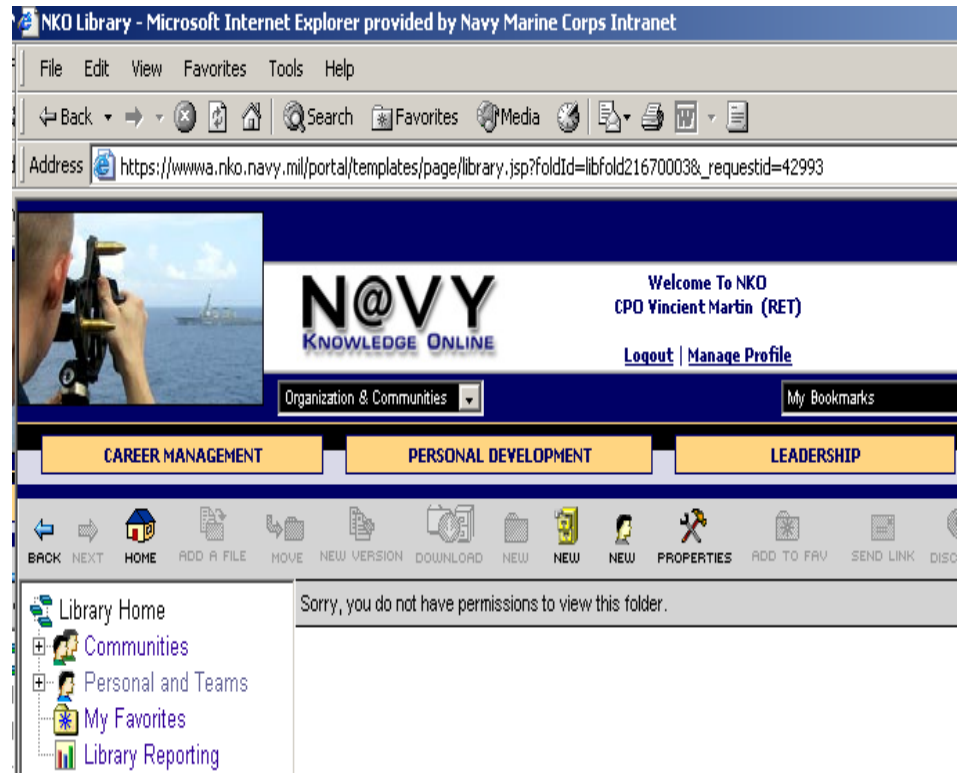




Partnership - 1st Meeting with IO

Mentor explains to IO how to:

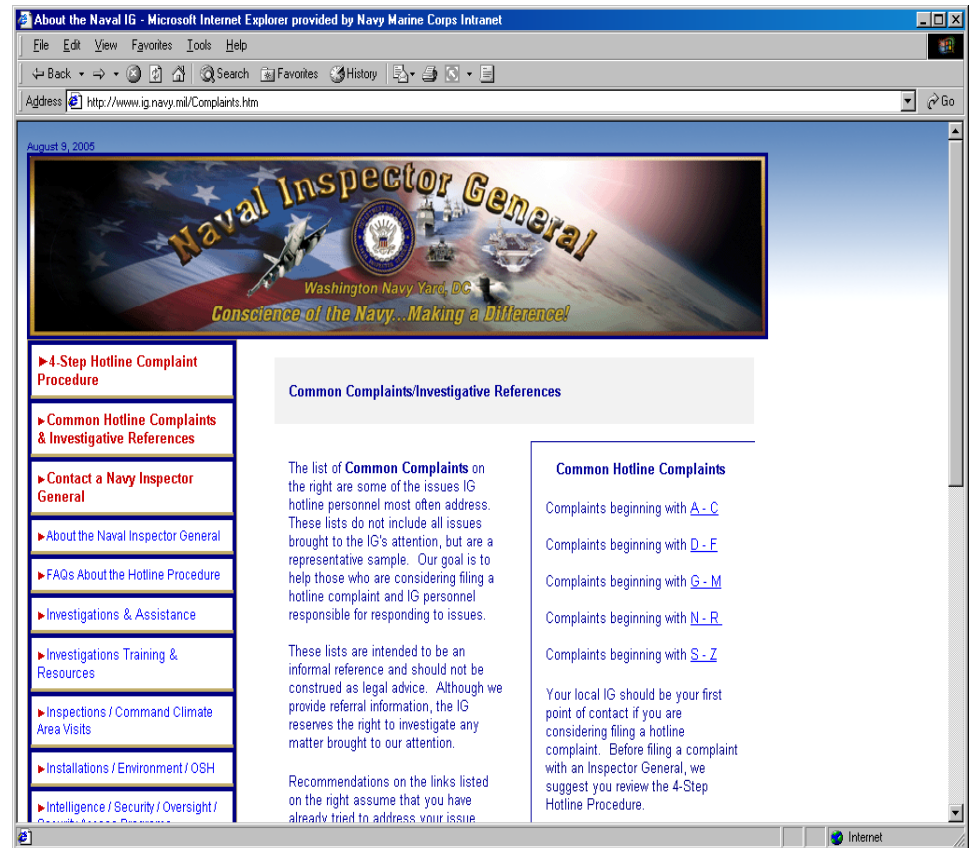
- Access IG NKO online training – no authorization from NAVINSGEN required
- Use templates, Investigation References on NAVINSGEN website





Partnership - 1st Meeting with IO

- Investigations Guide / NAVINSGEN website
- Mentor assists IO throughout investigation





Partnership - 2nd Meeting with IO

Mentor provides one-on-one instruction on the following areas:

- Complaint analysis
- Drafting the allegation
- Gathering evidence
- MWB, OSC, Improper Referral for MHE
- Investigation Plan
- Report format
- Post-Investigation Checklist
- Corrective action requirements



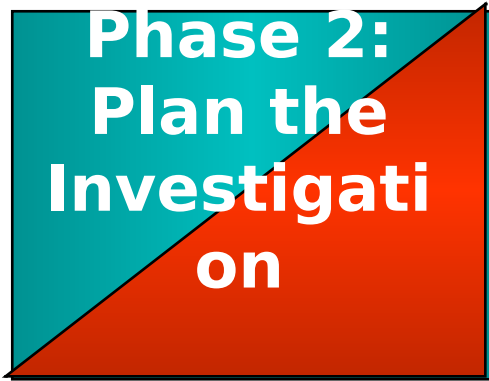
Let's Review

- Assign an Investigating Officer
- Mentor and Train IO – (Establish Partnership / Investigation Team)

What next? Investigation Plan



Phase 2: Plan the Investigation



Assign an Investigating Officer

Mentor and Train the IO
(Establish Partnership –
Investigation Team)

Prepare the Investigation Plan

Maintain the Plan

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Investigation Plan

It's your roadmap!





What is the Plan?

- **Written** outline
- Checklist
- Updated continually
(keep a dated copy of every revision)
- Minimum requirements of the Plan
 - List of allegations
 - List of witnesses

1. **ALLEGATIONS**

- a. SOURCE OF ALLEGATIONS
- b. ALLEGATIONS LIST
 - (1)
 - (2)

2. **BACKGROUND**

- a. RELEVANT STATUTES/DIRECTIVES/REGULATIONS/POLICIES

Rule/Regulation	Topic	Elements of Proof

- b. PREVIOUS INVESTIGATIONS

- c. ORIGIN OF THE COMPLAINT

3. **EVIDENCE**

- a. DOCUMENT LIST

Document	Location	Date Obtained	Comments

- b. INTERVIEW LIST

Name	Command/ Position	Phone	Category	Date Interviewed	Comments



Elements of the Plan

What are the Elements of an Investigative Plan?

- Interview Sequence Plan
- Interview List (Witness List)
- Contact List
- Notification List
- Document List
- Allegations List
- Chronology of Events
- Logistical Plan
- Background Information
- Outline of Proof





Elements of the Plan

Interview Sequence Plan

- Order you intend to conduct interviews
 - Complainant first – subject last
- Obtain documents prior to interview
- **Remember**, subject's rights under Privacy Act





Elements of the Plan

Interview Sequence Plan

- Comments about the witnesses, e.g., friendly, neutral, adverse
- Tentative questions for each witness
- List of the documents you intend to obtain from witnesses

Sample Interview Plan (Combined Interview Sequence Plan, Notification List, and Contact List)				
ORDER	INTERVIEWEE	CATEGORY	ALLEGATIONS & DOCUMENTS	QUESTIONS
1	CAPT Frank Smith, (301) 757-3456	Commanding Officer, COMNAVAIRSYSCOM		20 June 02 – Notify CAPT Smith that you are conducting an investigation.
2	LT Kris Young, (301) 757-8702	Staff Judge Advocate, COMNAVAIRSYSCOM		20 Jun 02 - Notify LT Young that you are conducting an investigation.
3	Lisa Ponds	Subject Matter Expert (SATO)	2	Any restrictions on changing reservations?
4	Taylor Rutkowski (301) 757-2105	Witness	1, 2 Ms. Chase's Travel Orders & Travel Claim	Who requested to attend conference? Who approved?
FOR OFFICIAL USE ONLY - PRIVACY SENSITIVE Any misuse or unauthorized disclosure may result in both civil and criminal penalties.				



Elements of the Plan

Contact List

- Complainants, subjects, and witnesses, COs, XO's, supervisors, local IG office personnel, JAGC, OGC attorney, SME
- Witness name, title, rank or grade, address, phone # and other pertinent information, to include his/her role in the investigation



Elements of the Plan

Notification List



- Notify senior management that you are conducting an investigation
- Brief management only on your decision to conduct an investigation – do not provide details!



Elements of the Plan

Background Information

- Origin of the hotline complaint
- Summary of the complaint
- Optional information

Chronology of Events

- Outlines order of events
- Update



Elements of the Plan

Document List

- Identifies the documents you need and acts as a checklist

Interview List

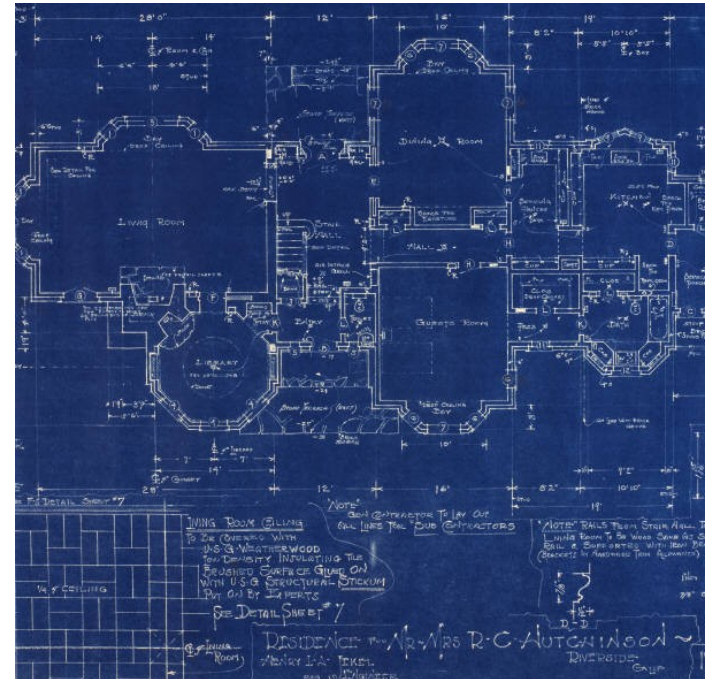
- Each allegation you intend to investigate
- Allegations you refer to another command for action
- Emerging allegations



Elements of the Plan

Outline of Proof

- “Blueprint” / tool
- Helps organize / outline evidence required
- “Meat” of your IP
 - Identifies essential elements
 - Focuses Fact Finding
 - Outlines proof





Elements of the Plan

The Allegation

Review the Case Study Complaint

Who:

Did What:

In violation of what:

When:



Remember the Partnership! 3rd Meeting with IO

Why a 3rd meeting?

- Review and approve Investigation Plan
- Discuss any problems
- Assist and discuss logistical needs





Phase 2: Plan the Investigation

Phase 2: Plan the Investigation

Assign an Investigating Officer

Mentor and Train the IO
(Establish Partnership –
Investigation Team)

Prepare the Investigation



Plan

Maintain the Plan

Slide



Maintain the Plan

- Make a copy for the case file
- Update the Plan continually
- Highlight the pertinent sections
- Modify the allegations, as necessary



Phase 2: Plan the Investigation

Phase 2:

**Plan the
Investigati
on
Completed
!!**

Assign an Investigating Officer

**Mentor and Train the IO
(Establish Partnership -
Investigation Team)**

Prepare the Investigation

Plan

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Questions??